

FEE TRANSMITTAL for FY 2005 <small>Effective 10/01/2004. Patent fees are subject to annual revision.</small>		Complete if Known	
		Application Number	10/709,329-Conf. #3328
		Filing Date	April 28, 2004
		First Named Inventor	Earl Rotman
		Examiner Name	N. B. Nguyen
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Art Unit	3628
TOTAL AMOUNT OF PAYMENT		(\$)	1,478.00
		Attorney Docket No.	20107/1200838-US1

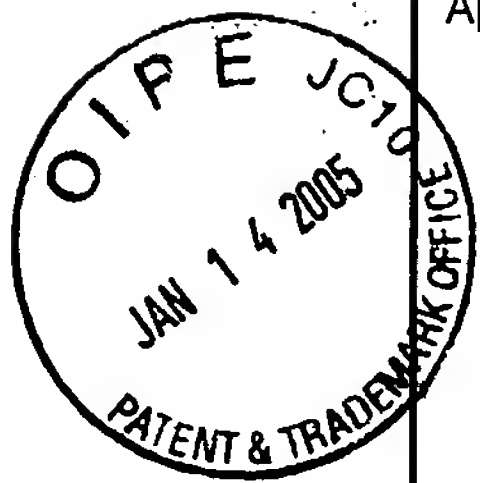
METHOD OF PAYMENT (check all that apply)	
<input type="checkbox"/> Check	<input type="checkbox"/> Credit Card
<input type="checkbox"/> Money Order	<input type="checkbox"/> None
<input checked="" type="checkbox"/> Deposit Account	
Deposit Account Number	04-0100
Deposit Account Name	Darby & Darby P.C.
The Director is authorized to: (check all that apply)	
<input checked="" type="checkbox"/> Charge fee(s) indicated below	
<input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee	
<input checked="" type="checkbox"/> Charge any additional fee(s) or any underpayment of fee(s) under 37 CFR 1.16 and 1.17	
<input checked="" type="checkbox"/> Credit any overpayments	
To the above-identified deposit account.	
<input type="checkbox"/> Other (please identify):	

FEE CALCULATION			
1. BASIC FILING FEE			
Fee Description	Fee (\$)	Small Entity Fee (\$)	Fee Paid (\$)
Utility Filing Fee	790	395	
Design Filing Fee	350	175	
Plant Filing Fee	550	275	
Reissue Filing Fee	790	395	
Provisional Filing Fee	160	80	
Subtotal (1) \$			0.00

FEE CALCULATION (continued)			
2. EXTRA CLAIM FEES			
Fee Description	Fee (\$)	Small Entity Fee (\$)	
Each claim over 20	18	9	
Each independent claim over 3	88	44	
Multiple dependent claims	300	150	
For Reissues, each claim over 20 and more than in the original patent	18	9	
For Reissues, each independent claim more than in the original patent	88	44	
Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
74	- 20 or HP = 43	x 18.00	= 774.00
HP= highest number of total claims paid for, if greater than 20			
Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
15	- 3 or HP = 8	x 88.00	= 704.00
HP= highest number of independent claims paid for, if greater than 3			
Multiple Dependent Claims		Fee (\$)	Fee Paid (\$)
Subtotal (2) \$			1,478.00

3. OTHER FEES			
Fee Description	Fee (\$)	Small Entity Fee (\$)	Fee Paid
1-month extension of time	110	55	
2-month extension of time	430	215	
3-month extension of time	980	490	
4-month extension of time	1,530	765	
5-month extension of time	2,080	1,040	
Information disclosure stmt. Fee	180	180	
37 CFR 1.17(q) processing fee	50	50	
Non-English specification	130	130	
Notice of Appeal	340	170	
Filing a brief in support of appeal	340	170	
Request for oral hearing	300	150	
Other:			
Subtotal (3) \$			0.00

SUBMITTED BY			
Signature		Registration No. (Attorney/Agent)	47,698
Name (Print/Type)	Richard J. Katz	Telephone	(212) 527-7700
		Date	December 3, 2004



Application No. (if known): 10/709,329

Attorney Docket No.: 20107/1200838-US1

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. _____ in an envelope addressed to:

EV382055182-US

MS Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on January 14, 2005
Date

Signature

Typed or printed name of person signing Certificate

Registration Number, if applicable

Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Part 2 Copy of Notice
Response to Notice to File Missing Parts of Application (4 pages),
including Exhibits A-F (55 pages)
Return receipt postcard



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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/709,329	07/15/2004	Earl Rotman	20107/1200838-US1

07278
DARBY & DARBY P.C.
P. O. BOX 5257
NEW YORK, NY 10150-5257



CONFIRMATION NO. 3328
FORMALITIES LETTER



Date Mailed: 12/13/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- Additional claim fees of \$3750 as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$3750 for a Large Entity

- Total additional claim fee(s) for this application is \$3750
 - \$1600 for 12 independent claims over 3.
 - \$2150 for 54 total claims over 20.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

01/25/2005 NNGUYEN1 00000002 040100 10709329
01 FC:1201 1600.00 DA
02 FC:1202 2150.00 DA

*A copy of this notice **MUST** be returned with the reply.*

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T.C.W.

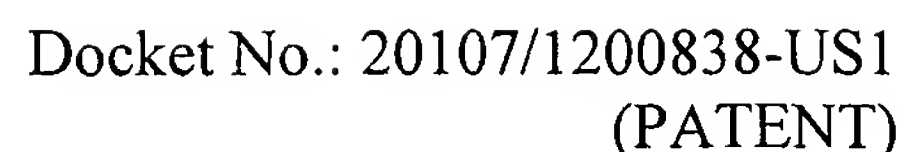
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Earl ROTMAN et al.

Confirmation No. 3328

Serial No.: 10/709,329

Group Art Unit: 3628

Filed: April 28, 2004

Examiner: Nga B. Nguyen

For: **SYSTEM AND METHOD FOR CREATING TRADEABLE FINANCIAL UNITS**

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

MS Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In response to the Notice to File Missing Parts of Application – Filing Date Granted mailed December 13, 2004, and as demonstrated by the following remarks, which are accompanied by **Exhibits A-F** (attached), Applicants respectfully submit that there are no additional claim fees due for the above-identified application in contrast to what is indicated on the face of the Notice. The Part 2 Copy of the Notice is enclosed.

The present application was filed electronically on April 28, 2004 using software authorized by the U.S. Patent and Trademark Office (USPTO). An Acknowledgement Receipt bearing the timestamp “2004-04-28 17:46:01 EDT” was received electronically from the USPTO, a photocopy of which is attached in **Exhibit A**. A photocopy of the present application (including written disclosure, drawings, and thirty-one claims where seven are independent), as filed on April 28th, is attached in **Exhibit B**.

Because the application was made special, and is participating in a Pilot Program, a first Office Action on the merits was mailed September 8, 2004 (**Exhibit E**). The Office Action Summary page indicates that the Action is responsive to the communication filed April 28, 2004, and that claims 1-31 are pending in the application. An Amendment in response to the September 8th Office Action was submitted by facsimile on December 3, 2004. A USPTO Auto-Reply Facsimile Transmission confirming receipt of the facsimile transmission, a Certificate of Transmission, an internal fax transmission receipt, an Amendment Transmittal Letter, and a Fee Transmittal are attached in **Exhibit F**.

The December 3rd Amendment added a total of forty-three claims (claims 32-74), where eight are independent. Because the Amendment was filed via facsimile, authorization was given on both the Amendment Transmittal Letter and the Fee Transmittal to charge the deposit account. Therefore, Applicants submit that the extra claim fees for the Amendment are properly paid as of the Amendment filing on December 3, 2004. The Amendment was received, as evinced by the Auto-Reply received from the USPTO on December 3, 2004 (*see* Exhibit F).

After the Amendment, there are seventy-four claims pending in the application, where fifteen are independent. The Notice to File Missing Parts requires payment of claim fees for all the pending claims in the application (i.e., twelve independent claims over three, and fifty-four total claims over twenty), where, as demonstrated above, all the fees due in this application were properly paid concurrent with the April 28, 2004 filing of the application, and concurrent with the December 3, 2004 filing of the Amendment.

Respectfully submitted,

By _____

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Attorneys/Agents For Applicant